

# ORDER

U.S. DEPARTMENT OF TRANSPORTATION  
FEDERAL AVIATION ADMINISTRATION  
SOUTHERN REGION

SO AT 1100.2C

1/15/04

**SUBJ: STANDARD OPERATING PROCEDURES (SOP) - EVALUATIONS STAFF**

- 1. PURPOSE.** This order provides Standard Operating Procedures (SOP) for the Regional Evaluations staff.
- 2. DISTRIBUTION.** This order is distributed to all Branch/Staff Managers, Air Traffic Division, members of the Evaluations Staff, and the Air Traffic Evaluation and Investigation Staff.
- 3. CANCELLATION.** Order SO 1100.2B, dated 9/16/02 is cancelled.
- 4. RESPONSIBILITY.** The Evaluations staff is responsible for the development, support, and administrative oversight of the Air Traffic Division's (ATD) Quality Assurance program. The staff also serves as the ATD focal point for Freedom of Information Act (FOIA)/Privacy Act program management, evaluations, operational error/deviation prevention and follow-up actions, accident/incident investigations, NMAC and pilot deviation reporting, and litigation support. The staff shall:
  - a. Develop and support the ATD's Quality Assurance Program, providing guidance to field facilities for the implementation of national and regional policies, programs, standards, and procedures pertaining to quality assurance.
  - b. Function as the focal point on and participate in the review of operational errors and deviations for all field facilities. Provide guidance to field facilities on handling accidents and incidents.
  - c. Serve as the ATD focal point for tracking and following up on NTSB, System Safety and Efficiency Reviews, and other recommendations made to improve the air traffic system in the region. Administer the regional inflight assessment program through use of private aircraft and the agency's rental and jump seat authority. Provide representation to NTSB officials when requested in accident/incident cases.
  - d. Serve as the ATD focal point for Freedom of Information Act (FOIA) activities and review of accident packages.
  - e. Conduct assessments of field operations programs as directed by Division Manager and national/regional directives. Administer the division's facility evaluation program and assist AAT in conducting evaluations and assessments of field facilities.
  - f. Function as the Air Traffic Division focal for processing of Unsatisfactory Condition Reports.

**5. STANDARD OPERATING PROCEDURES.** The following appendices contain individual SOPs for functions performed by the Evaluations Staff.

- a. Appendix 1      Administrative
- b. Appendix 2      Freedom of Information Act (FOIA)/Litigation
- c. Appendix 3      Evaluations
- d. Appendix 4      Operational Errors/Deviations
- e. Appendix 5      Accidents/Incidents
- f. Appendix 6      Publications
- g. Appendix 7      Drug/Alcohol Testing
- h. Appendix 8      On Call Duties
- i. Appendix 9      ID Badges
- j. Appendix 10     ASO-505 Staff Corporate Knowledge & IDP
- k. Appendix 11     Flight Assists
- l. Appendix 12     OE/OD Database
- m. Appendix 13     RAPTOR



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Manager, Air Traffic Division

## ADMINISTRATIVE

### 1. Correspondence.

a. The ASO-505 staff is responsible for processing draft correspondence, including signature and distribution. Due to the volume and constantly changing nature of some information, it is necessary to maintain a desk reference guide containing phone numbers, subject samples, and a distribution list. This binder contains subject tabs for quick reference.

b. Hotline and Congressional correspondence shall be answered by the QAS responsible for facility addressed in the correspondence. When submitting a response for ASO-500 signature, ensure the mail control cover sheet is included. This allows proper tracking by ASO-500A.

### 2. Telephone Procedures.

a. Each specialist answers his or her incoming calls. If he/she is away from their desk, the caller is instructed to leave a message.

b. All calls from the regional communications center require immediate attention. The ASO-505 Manager or a quality assurance specialist has to be contacted in a timely manner.

c. The phones are Meridian. To call out, dial 9, then the local number. To call within the building, dial four digit extension. To call long distance dial 9, 1, area code, the number.

### 3. Mail Procedures.

a. Incoming mail is date stamped by the secretary then routed to ASO-505 Manager or the specialist assigned the program responsibilities.

b. All mail controlled correspondence is given to the ASO-505 Manager and the secretary makes a copy for suspense and makes an entry in the Lotus Notes 505 Calendar. The document is then distributed to the specialist assigned responsibility.

c. All outgoing mail is handled via; interagency envelopes, first class, certified, or Federal Express.

### 4. GENOT Handling.

GENOT's are picked up from the ROC each morning by the duty specialist. The Secretary (or in the secretary's absence) the duty specialist shall date stamp "received & date" and write "distributed by" and initial in the upper right corner. Make eight copies for 505, one for each QAS, one for the Evaluation Program Specialist and one for ASO-505. Additionally, make five copies and distribute one to each branch and ASO-500 via the division mailboxes. Place the original in the GENOT binder.

## 5. Document Coordination.

The manager or specialist prepares correspondence, which is reviewed by the branch secretary, for format, verbiage, spelling, grammar, etc. The document is then routed to the manager for review and approval. The correspondence requiring ASO-500 signature should be routed through ASO-500A, ASO-502, ASO-501, ASO-500 and then back to ASO-505A for final distribution/ mailing. The grid copies of correspondence shall be returned to the originator, except for OE/D concur/non-concur memoranda which are placed on the left side of the OE/D folder.

## 6. Time and Attendance (T&A).

a. The ASO-505 secretary is responsible for maintaining all time and attendance records for the staff. T & A's are processed through CRU-X. All staff members are responsible for ensuring the secretary has complete and accurate information on their attendance, leave, and travel schedules. At the end of pay period, all T & A information is entered into CRU-X for approval by the T & A approving official. The Administrative Program Assistant is the backup for the secretary.

b. The requirements of the job necessitate that specialists, at times, work at home in the evenings or on weekends when on-call. When this occurs, compensatory time or credit hours (up to 24) is authorized. Document the time and reason on the comp time worksheet located on the H:drive, by pay period, for ASO-505 approval. All other occurrences of compensatory time being earned must be approved, in advance, by the ASO-505 Manager.

c. Specialists are expected to complete travel requirements utilizing evaluator credentials. During credential travel, specialists shall be in a duty status.

d. Requests for annual and scheduled sick leave will be processed in the order received. Employees are responsible for ensuring their work is accomplished prior to utilization of leave. A minimum of one administrative person and one QAS shall be in at all times.

## 7. Information Binders.

a. Several binders are maintained by the secretary, the program specialists, and staff specialists in the secretary's work area as well as general file area for review.

b. Information is purged from each binder as it expires or requires updating.

## 8. Forms, Directives, and Supplies.

These items are obtained by the secretary from the appropriate offices in the Regional Headquarters Building. Requests for these items shall be coordinated through the secretary.

## 9. File Maintenance.

A new official files list is reviewed by the ASO-505 staff and verified for currency at the beginning of each calendar year. Subject files are retained per Order 1320.

## 10. Travel.

Travel to assigned facilities is an integral and important part in the accomplishment of the Evaluations Staff's function. It is desirable that specialists visit facilities at least once a year since this provides the Evaluations Staff with a firsthand awareness of individual facility requirements. It also allows for assistance in preparing facilities for AAT evaluations. However, the budget situation at any given time will have a direct impact on available funds for travel and will require modifications to proposed travel. Although facility travel is desirable in the job fulfillment of this section, it cannot always be accomplished as prescribed.

a. To a large degree, circumstances dictate travel requirements for ASO-505. Activity such as Headquarters evaluations, accidents and incidents, certain operational errors, surface incidents, Regional assessments/reviews, etc., require ATD representation from ASO-505.

b. Facility travel also provides the opportunity to accomplish in-flight evaluations of facilities. See Appendix 3, Evaluations.

c. Individual travel/trip orders are prepared as necessary by the person traveling. Familiarization training trip forms and tickets are prepared when requested.

d. Each Quality Assurance Specialist (QAS) is responsible for his/her travel arrangements. Please utilize FedTrip (web based travel reservation system) when making airline reservations.

e. Each QAS is responsible for preparing his/her travel voucher. Travel vouchers shall be submitted to the ASO-505 Manager for signature within five administrative workdays upon returning from travel. After preparation and signature, the travel vouchers are routed to ASO-26 for payment.

## 11. Quality Assurance Seminars and other training/seminar functions.

QA Seminars are conducted by the Evaluations Staff as resources permit. These seminars are provided as an introduction to field facility personnel on the topics of evaluations, FOIA requests, accident/incident documentation, and operational error/deviation reports. Presentations are normally reviewed, updated, and conducted by those specialists assigned the topic responsibilities.

Other training modules (visual separation, leadership training, runway incursions, Operational Supervisor Workshop Training, etc.) are presented by the Evaluations Staff when requested by field facilities or at the discretion/direction of the ATD. These modules have been developed and are maintained by ASO-505.

## FOIAs, PRIVACY ACT AND LITIGATION

### 1. Freedom of Information Act/Privacy Act Processing Responsibilities.

a. The Evaluations Program Specialist (EPS) is delegated responsibility for the Freedom of Information Act (FOIA) and Privacy Act requests involving the Air Traffic Division (ATD). All requests received are processed by the EPS. These requests cover a wide range of subjects including, but not limited to aircraft accidents/incidents, facility evaluations, operational errors/deviations, and pilot deviations.

b. All Quality Assurance Specialists (QAS) are responsible for maintaining an adequate working knowledge of the law and the processes used to meet requirements of these acts in the region. They are expected to be able to answer general questions on the process, and to provide backup for the EPS during absences.

### 2. FOIA Procedures.

Procedures on handling of FOIA requests are contained in Orders 7210.3, 1280.1, and 1270.1

a. FOIAs sent directly to the ATD will be reviewed upon receipt to determine what information is being requested, whether or not other regions, divisions, and/or facilities are involved, and to determine the date of the data being requested. Due to the retention period for voice recordings and radar data, it is critical that this process is completed upon receipt. Please note that this includes telephone or verbal requests which require the same determinations as above.

b. All FOIA requests must be logged in with the Management Systems Branch, ASO-65. ASO-65 enters the FOIA into the National Database where it is assigned a FOIA Control Number.

c. When a FOIA request involves more than one division, ASO-65 will assign one of the divisions responsibility for gathering the data and preparing the response for the Regional Administrator. If the ATD is not the custodian for the requested information, the EPS will notify ASO-65 so that further coordination can be accomplished i.e., joint assignment to another region and/or division.

d. If the requested information is not available from an FAA office, refer the requester to the appropriate office, if known:

(1) The FAA does not release data being retained at Federal Contract Towers (FCT's), i.e. voice recordings. The exception is information provided by the FCT contained in the formal aircraft accident package retained in the region. Requests concerning FCT's should be referred to the contractor.

(2) The FAA does not release requests regarding military accidents. Such requests should be directed to the military facility concerned.

(3) Requests for weather data not contained in the accident/incident package should be referred to the National Weather Bureau.

e. If a request pertains to an aircraft accident, the accident database must be reviewed to determine the responsible facilities. Most FOIA requests are time critical due to Air Traffic data retention requirements. Therefore, responsible facility identification and notification is the first step in the FOIA process. Within the notification process, facilities should be advised to secure any requested data, information, etc.

f. Title 49 provides for an initial response within twenty (20) working days after the appropriate office receives the request. This letter (referred to as an "interim response/letter") is normally brief and contains acknowledgement of the request and an estimated response time.

g. In instances where the ATD has the action and a portion of the request is within the jurisdiction of another region, the requester is notified that a copy of their letter is being forwarded to that region for a response to their portion. A copy of the requester's letter, along with a memo, is then forwarded to the other region. Other regions respond separately.

h. All information sent to the region from the field should be copies; originals should be maintained at the facility. Under no circumstances shall original text, tapes, etc., be given to any FOIA requester. An exact duplicate (in the same format, i.e. diskette, zip drive, DAT, etc.) of the information provided by the facility is to be retained with the FOIA. It is inappropriate to develop a record that is not in existence, such as a written transcript of a voice tape.

(1) Each FOIA request must be considered individually. There are no set answers to the questions of release/non-release of information for ATD purposes. Requests for data that do NOT specifically ask for information via FOIA procedures, shall be processed as FOIA requests.

(2) If the requested information is not available for whatever reason, prepare a letter informing the originator of the situation. The Regional Administrator, ASO-1, is the only person authorized to sign a letter of no records, partial records, denial or partial denial. These letters shall be coordinated with ASO-65 and ASO-7. Additional divisions may be involved in the coordination if the request involved more than one division.

i. Order 7210.3 outlines charges for providing FOIA information. There are certain situations where fees are not charged. Fees are collected in advance for all FOIA requests, unless the requester has already established a favorable payment history. Once the information requested has been gathered by the EPS, a letter shall be sent informing the requesting party of the cost for the data, the agency to whom to make the check payable. "Department of Transportation/Federal Aviation Administration (DOT/FAA)" and the type of payments that are acceptable in accordance with Title 49 CFR. Title 49 also provides for waiver of fees in some instances.

j. Prepare a courtesy copy of ALL letters for ASO-65. Letters concerning FOIA's shall be prepared and processed by the procedures contained on file by the EPS.

k. If the FOIA concerns an accident or incident, it is to be filed with the accident or incident file.

l. FOIA's not associated with an accident or incident are to be filed in a separate section designated for FOIA's.

m. FOIAs that do not concern accidents are retained for 2 years. FOIA denials are retained for 6 years. Completed accident FOIAs are retained for the same time period as the associated accident file.

### 3. Privacy Act Procedures.

a. Privacy Act requests are handled much the same as FOIA requests. The document should be read carefully to determine if it is a valid request. If so, a determination is made as to where records are located, and a copy of the request is forwarded to that office(s).

b. Unlike the FOIA, Privacy Act requests can be received in verbal as well as written form; however, in this region, only written Privacy Act requests for personnel records are accepted. A Privacy Act request can be submitted in letter format.

c. The fee schedule for Privacy Act services is located in FAA Order 1280.1, Appendix 1. Regional Counsel, ASO-7, provides assistance, when needed.

d. FOIA and Privacy Act records are maintained in accordance with FAA Order 1350.15.

### 4. Litigation.

ASO-505 serves as the ATD point of contact in litigation matters and provides liaison support between AAT-200, General Counsel, and field facilities. The EPS is delegated responsibility for the following functions:

When a notice of litigation is received, the EPS contacts all involved air traffic facilities and forwards each facility a copy of the AAT-200 memo via electronic means with a due date. Normally, facilities are required to Express Mail their records directly to Washington, notify ASO-505 of the mailing date, and a list of information provided.

a. Upon receipt of Production Requests, collect necessary data from the facilities involved.

b. Review all data provided to ensure that it complies with applicable regulations (i.e. Order 8020.11). If deficiencies are noted, provide appropriate documentation.

c. Obtain appropriate data from Regional Office files and prepare a response. Forward documentation to AAT-200.

d. A "Notice of Litigation" binder is maintained by the EPS. This binder contains memorandums informing the ATD of Notices of Litigation, active and completed. In addition, the monthly Active Litigation Status listing is also contained in this binder. The Notice of Litigation is also filed in the appropriate accident file.

e. Requests for documents to be held beyond their appropriate retention date should be in writing from the requesting office. This will ensure appropriate documentation for any involved facilities.



f. Copies of all pertinent FOIA requests and related correspondence are express mailed to AAT-210 by ASO-505. If a "no records" determination is made, indicate in the cover letter what type of search was conducted and where. The air traffic accident package (if applicable) and FOIA's are pulled and retained in a separate file cabinet marked "Litigation."

g. Once ASO-505 receives a Notice of Completed Litigation, this is faxed to the appropriate field facilities. The completion notice advises that standard retention as contained in FAA Orders 1350.15 and 8020.11 applies.

h. Litigation files are maintained by the Program Analyst and held until advised by AAT-210. Retention is 30 days after the completion of litigation notice is received.

## EVALUATIONS

### 1. Evaluations include Full Facility Evaluations (FFE), Followup Evaluations (FUE), Special Facility Evaluations, and Inflight/Preflight Evaluations.

#### a. FFE/FUE Preparation and Support.

(1) Evaluations are assessments of a facility's overall performance in the areas of Operations and Operational Support. Full-Facility evaluations are conducted by the Air Traffic Evaluations and Investigations Staff, AAT-20.

(2) AAT-150 normally conducts FFE's and FUE's in the Southern Region.

(3) Full Facility Evaluations shall include, as a minimum, the checklist items identified in Order 7010.1. The checklists may be supplemented by Headquarters, the Region, or field facilities.

(4) ASO-505 shall:

(a) Promote and provide on-site facility level support for FFE's to the extent that personnel and monetary resources permit.

(b) Prior to each AAT FFE, review the facility's previous FFE in order to assist in the prevention of repeat problems and to identify any areas or situations that may be useful to the AAT-20 evaluators. This will normally be accomplished by the ASO-505 specialist responsible for that particular facility.

#### b. Post FFE/FUE Procedures

(1) Upon receipt of FFE/FUE report from AAT-20, the branch secretary shall file a copy on the H drive in the facility folder, forward a copy to the QAS and the facility mailbox (except for FCT & NFCT reports shall be forwarded to the hub) using Lotus Notes.

(2) Reports that include regional problems shall be forwarded via Lotus Notes to the appropriate branch by the QAS for reponse. If needed, guidelines outlining the format to be used and due dates shall be provided to the recipient. The Evaluations Staff shall be responsible for tracking and updating AAT on regional problems until closure is accomplished.

(3) Track and review responses to evaluation reports to ensure they are timely, effective, clear, in compliance with Order 7010.1, and that they adequately address the problem. Coordinate with the facility and/or hub via telephone, Lotus Notes, or NSEAI, as appropriate, to make required corrections. The Evaluations Staff will actively work with the facility to bring all items to closure in a timely manner.

(4) Provide AAT-150 with an electronic concurrence/non-concurrence of facility and hub problem responses prior to the AAT-150 deadlines.

(5) Provide facilities and hubs feedback on the status of their FFE report when problem response replies are received from AAT-20. This will normally be accomplished by returning the AAT-150 reply via Lotus Notes. If NSEAI is the primary means of responding to evaluation items, authorized facility personnel can determine the status of these items by accessing their facility information via NSEAI. The problems are not considered closed until AAT advises the ATD of closure. This action is continued until all items are closed.

(6) Each QAS is responsible for checking NSEAI and ensuring timely responses by the facility and the region.

c. Special Facility Evaluations.

Special evaluations are conducted as required, or when deemed necessary by the ATD or AAT-20. Headquarters conducts the vast majority of evaluations; procedures are included in Order 7010.1. Evaluations initiated by the ATD are normally done on an "as needed" basis, and are handled on a case by case basis. The following is provided as guidance:

(1) Division coordination should be effected as necessary with other branch offices. Awareness of facility conditions, problems, future installations, etc., can help prepare the Evaluations Staff to analyze conditions at the site. Depending on the nature of the evaluation, input and/or participation on the evaluation from other branches may be helpful or necessary.

(2) During an ATD evaluation, the lead evaluator should provide a daily briefing to the ATM/designee, providing a short summation of what the team has looked at and any determinations made for that particular day. In addition, an exit briefing should normally be conducted at the conclusion of the evaluation, providing an overall summary.

(3) During an ATD evaluation, a situation may arise where immediate corrective action is warranted. Any such situation shall be immediately brought to the attention of the ATM/designee. If appropriate, the evaluation specialist shall also advise the ASO-505 Manager.

(4) The facility exit briefing is the responsibility of the lead evaluator. As with any other presentation, the out briefing requires preparation. Review to ensure all areas evaluated are discussed. If more than one person is assigned the evaluation (other branches, divisions, headquarters, etc.), it is critical to have a pre-out briefing meeting to determine who will speak on each item and what the team's findings are.

(5) The ATM has the option of determining which facility personnel will attend the exit briefing. Some sensitive items may require special handling i.e., closed door sessions.

(6) The Region Exit Briefing - Upon return to the region, debrief the ASO-505 Manager on the evaluation.

d. Quality Assurance On-Site Visits.

Quality Assurance On-Site Visits are conducted by ASO-505 as part of accomplishing the QA mission, usually at the direction of ASO-505, 501, or 500. These visits will normally address specific ATD concerns.

(1) As positive intervention, discuss any identified problems areas with the facility ATM prior to concluding the visit.

(2) Upon returning from travel, a Quality Assurance On-Site Visit report shall be completed and submitted to the ASO-505 Manager. Reports should contain a brief narrative of the facility visit, observed strengths and problem areas, recommendations, if any, and actions.

(3) If problem areas were cited, ASO-505 will forward a copy of the report to the facility ATM.

(4) Action items and follow up will be assigned as needed.

(5) The responsible specialist shall file these reports in the individual facility folders.

e. Inflight/Preflight Evaluations.

In accordance with FAA Order 7010.1, Air Traffic Evaluations, inflight/preflight evaluations are an assessment of services provided by air traffic facilities. Evaluations assess system performance and efficiency (e.g., phraseology, specialist techniques, application of procedures, flight assistance services, etc.). It is the responsibility of the Quality Assurance Staff to conduct such evaluations. There is no prior coordination with facilities on these evaluations.

(1) Inflight evaluations may be conducted using air carrier, agency, military, and rental aircraft.

(2) Preflight evaluations may be conducted using the telephone or facility visits.

(3) Track and review inflight/preflight monitors conducted within the SO Region, including those conducted by ATD personnel with evaluation credentials.

(a) These reports should be completed and entered into the FMR2K program within 5 calendar days of the evaluation. If a response is required by the facility, the ASO-505 staff specialist who conducted the evaluation shall notify the facility ATM as soon as feasible, to allow him/her to review pertinent data within the specified retention period (see further guidance below). A phone call and copy of the report via Lotus Notes is suggested.

(b) Reports normally requiring a response include: numerous "problem" areas, an obvious lack of adherence to established procedures, or questionable items for which there is no reference but that leave the evaluator uncertain as to the facility/sector efficiency. When a problem or questionable item is identified on an inflight/preflight monitor report and a response is required, take the following action:

1 Immediately notify the facility and/or hub if appropriate, to ensure they have an opportunity to preserve the investigative data. Coordinate a response due date for ATD receipt.

2 Provide the facility with written response guidelines when deemed appropriate.

3 Review responses for regional endorsement and forward the original response to AAT-150 for receipt within 30 administrative days from the date of the report.

4 When a commendable item is identified on an inflight/preflight monitor report, provide feedback to the facility and/or hub, as soon as practical.

2. Air Traffic Evaluation Credential, FAA Form 7010-2.

a. ASO-505 specialists are issued an Evaluation Credential that authorizes access to air carrier jump seats for the purpose of evaluating air traffic services. In accordance with Order 7010.6, this office requires security, tracking, and signatory authority as follows:

(1) All holders of Evaluation Credentials are responsible for using the credentials within the guidelines of the program, and in a manner that will not reflect negatively on either the program or the FAA. It is the responsibility of all members of the Quality Assurance Staff who utilize the Credentials to meet all requirements of the program, including the timely submission of flight monitor reports.

(2) The ASO-505 secretary is responsible for ordering, dispensing, and tracking of FAA Form 7010-4 booklets, "Request for Access to Aircraft or Free Transportation", for all employees in possession of Evaluation Credentials.

(3) Holders of Evaluation Credentials are delegated signature authority for the issuance of FAA Form 7010-4 and shall ensure the security of all booklets in their possession. Completed booklets shall be returned to the secretary for one-year retention after date of last travel.

(4) Requests for Credential travel for any reason, including support of accident investigations, incidents, or other special circumstances, shall be approved by the ASO-505 manager prior to such travel. Requests may be verbal or written, and shall include purpose and itinerary of the flight(s).

(5) In order to maintain the integrity of the program, all transportation utilizing the Evaluation Credentials shall be tracked. To accomplish this, the purpose of each trip will be recorded briefly on the inside cover of the FAA Form 7010-4 booklet adjacent to the flight information. The secretary will retain carbon copy of the FAA Form 7010-4 and booklet.

(6) Credential users will forward, via Lotus Notes, copies of all Inflight/Preflight Evaluation Reports, FAA Form 7010-1, rated as Commendable, Questionable, or Problem, to the

following: the facility being evaluated, the ASO-505 specialist responsible for that facility, and the AAT-150 mailbox.

(7) On the 5<sup>th</sup> of each month each QAS shall forward a report of credential usage for the prior month to the Administrative Program Analyst. The monthly report shall contain the date of the trip, the leg flown (i.e. ATL-MEM), the total number of frequencies monitored, the ticket number, and a statement indicating all reports were uploaded in FMR2K. Negative reports are required.

b. By the fifth working day of each month, the secretary will submit all inflight information for the previous month to AAT-100 via Lotus Notes. This requirement is accomplished by extracting the information from the ASO file server and attaching it as a file to a Lotus Notes message.

### 3. Evaluation Files.

Each QAS shall maintain individual field facility files for their assigned facilities. As a minimum, the contents of these folders include AAT and ASO-505 correspondence relating to facility evaluations. Documents relating to special quality assurance programs may also be retained in these folders.

## OPERATIONAL ERRORS/DEVIATIONS

### 1. Preliminary Operational Error/Deviation Investigation, FAA Form 7210-2.

The facility has 3 hours for initial notification of an OE/OD from the time the occurrence is first reported or suspected. The preliminary investigation consists of the initial facility notification; the review and input of data in the Evaluations Staff network computer drive, ACCESS and ANOVA databases; scheduling the ATD followup call-in; and followup on questions raised during the followup call-in.

a. Each QAS will ensure completion of the following regarding operational errors/deviations:

(1) Review FAA Form 7210-2 for completeness and ensure data is entered in the network drive. The original facsimile copy and the printed computer copy will be forwarded to the Secretary for file creation. An Operational Error/Deviation Checklist label will be placed on the file for tracking purposes.

(2) Ensure that followup call in is scheduled. Followup call-ins will normally be scheduled within two administrative days following an error/deviation. Coordinate through the Evaluations Staff utilizing the On-Time Program, then advise the facility of the call-in date and time. Once the date and time have been set, advise ASO-505, ASO-500A, 505 specialists and other branch managers, as needed, of the call-in. Notification may be made through Lotus Notes, Nextel and /or Skytel.

b. The Quality Assurance Specialist having taken the initial facility notification shall prepare any investigative notes on the occurrence and forward these to the QAS responsible for that facility. This information will be retained with the preliminary report for staff review prior to the call-in.

c. The Quality Assurance Specialist responsible for that facility will ensure the facility has a clear understanding of how to conduct the followup call-in. The facility will be requested to fax any pertinent documents (plots/maps, recertification plans, statements, etc.) and all corrections to the preliminary report at least one hour prior to the call-in. The facility should be prepared to answer questions about the issues surrounding the error, including facility corrective actions.

d. Prior to the Follow-up call-in, QA specialists participating in the call-in shall review the preliminary OE/OD information for familiarity and identification of facility trends and/or previous facility action items.

e. After the Followup call-in, the responsible specialist shall enter any corrections into the network drive and then forward the OE/OD package to the secretary. The secretary will retain the file pending completion of the Final Report or Reclassification.

f. AAT-200 will forward severity index on all OE's to ASO-505. ASO-505 will save on the H:drive in the facility folder and forward the severity index to the QAS responsible for the facility, and the facility manager. ASO-505 shall print the severity index (in color) and the secretary will place it in the OE folder, on the left side.

## 2. Final Operational Error/Deviation Report, FAA Form 7210-3.

The facility has 30 administrative days from the date the occurrence was reported to submit their final report to ASO-505.

a. The Secretary maintains a suspense log that is used to track facility compliance on final report submission. The QAS responsible for a facility shall coordinate with the facility, as needed, to ensure timely report submission.

b. Once the final report is received from the facility and within 10 administrative workdays, the QAS having primary responsibilities for that facility will ensure completion of the following:

(1) Review FAA Form 7210-3 for completeness and accuracy per Order 7210.56.

Ensure that the facility investigation is complete and thorough that all deficiencies are identified and that adequate and timely remediation is administered. All changes shall be coordinated with the reporting facility. If any significant changes are required, the facility shall make them and forward a copy of the corrected pages to ASO-505. The report submitted to Headquarters and retained by the Region must be identical to the facility's.

(2) The final report shall be forwarded to ASO-500 for concurrence and signature. The ASO-505 Manager has signature authority for routine final reports developed by the QAS. A copy of the final report is retained for ASO-505 files the complete package is distributed per Order 7210.56.

c. Operational Error/Deviation files are maintained by the ASO-505 Secretary. File contents will include the Preliminary Operational Error/Deviation Investigation report, FAA Form 7210-2, and supporting documentation as received. The Final Operational Error/Deviation Report, FAA Form 7210-3, and the printed severity index. Any reclassification documentation associated with the event will also be retained in this file.

## 3. OE/OD Review Programs.

The intent of these programs is to raise facility, regional office, and headquarters awareness by establishing a method of identification on facility trends. This will be accomplished through a statistics based continuous review of operational errors based on facility past performance and actions previously taken to eliminate errors and correct performance deficiencies. The results of the review shall be documented and improvements made by implementing an action plan for each level of review.

a. Trend Analysis/Tracking/Reports. The Administrative Program Assistant is responsible for tracking occurrences and trends. Specific reports/analyses are developed at the direction of ASO-505. This includes tracking of causal factors and identification of awareness items.

b. The OES data base includes: the date of operational error/deviation occurrence, date final report is due, extensions granted, etc. This information will be used to ensure that reports are processed within the required time parameters.



(1) Weekly, the Administrative Program Assistant will prepare the ASO Weekly QA Digest.

(2) Quarterly and/or as needed, the Administrative Program Assistant will prepare the a comparison of operational errors year to date for all facilities in the Southern Region.

(3) Monthly the administrative staff will provide updates for the Monthly Program Review.

c. As needed, the Evaluations Staff will prepare and disseminate the following:

(1) Prevention Programs. Specialists will assist field facilities in maintaining and updating facility operational error/deviation prevention plans, as requested, to ensure they remain current and effective. Additionally, the Evaluations Staff will sponsor programs, such as readback/hearback; the poster campaign; and other incentive-based programs, to promote prevention efforts.

d. Share problems and preventative measures that others have identified. Items that may be included, but not limited to, are:

(1) Incentive/Recognition Programs.

(2) List(s) of good operating practices.

(3) Personal accounts of lessons learned.

(4) Tape talks.

(5) Simulation training.

(6) Surface error awareness programs.

(7) Readback/Hearback awareness programs.

(8) Periodic reviews of:

1 Operationally Acceptable Levels of Traffic (OALT) limits.

2 Monitor Alert process.

3 Briefings covering operational OE/OD trends, customer input, evaluation findings. etc.

4 Promotion of teamwork within the air traffic workforce.

4. Operational Error/Deviation Reclassification Report, FAA Form 7210-5.

After the preliminary notification of an OE/OD is completed, review of data may indicate a reclassification of the incident is appropriate, per Order 7210.56. The facility ATM shall submit FAA Form 7210-5 and a justification memorandum to the ATD, through ASO-505, requesting a reclassification.

a. The QAS assigned to a particular facility shall review the completed reclassification request and coordinate with AAT-200 for verbal approval. Once AAT-200 approves, prepare a memorandum recommending concurrence and forward to the ASO-505 Manager for review. The reclassification request will then be forwarded to ASO-500 for approval and signature. If AAT-200 does not agree with request, prepare a memo to ATM, of nonconcurrence, for ASO-500 signature.

b. Unless written approval for reclassification is received prior to the due date of the final response, that response is still due from the facility.

5. SATORI.

- a. Maintain current software and hardware resources at the ATD.
- b. Distribute revisions and updates to facilities when deemed appropriate.
- c. Provide focal assistance to facilities with special requests.
- d. Request and review SATORI events from facilities when applicable.

## ACCIDENTS/INCIDENTS

### 1. Aircraft Accidents.

a. The Quality Assurance staff, ASO-505, is the focal point for air traffic facilities to coordinate relative factors concerning accidents and incidents. Order 8020.11 and the SO Order 7210.13 prescribe the responsibilities and procedures to be followed when handling such situations.

b. During the daily staff meeting, the duty specialist shall brief all accidents along with all other pertinent events. During this briefing the 505 staff will make the determination of Formal (F), Informal (I), or No Services (NS) for each accident listed on the Regional Administrator's Daily Bulletin. The FOIA Program Specialists then makes the entries in the database and makes notations on the Daily Bulletin regarding the database entries.

c. As each accident is reported, the Evaluation Program Specialist will make a separate entry into the accident tracking database. The Program Specialist coordinates with AAT-200 as accidents occur. On a monthly basis, AAT-200 distributes an Accident listing. Upon receipt, Program Specialist will review the monthly Accident listing and advise AAT-200 of any additions or corrections.

d. The Evaluation Program Specialist shall:

(1) Inform the responsible facility as to what type of package/file to prepare. If the responsible facility disagrees with the Air Traffic Division determination, the EPS will advise the facility to contact their assigned QAS. In the event there is a change to the initial determination, i.e. FSDO upgrades or downgrades the incident/accident, the QAS shall inform the facility and the branch secretary of the change. The branch secretary shall be responsible for updating or posting changes of revised determinations in the database.

(2) Prepare a folder and label for the accident package and a memorandum (not dated) to AAT-200 indicating the package has been reviewed by ASO-505.

(3) Track the progress of formal packages and follow up with facility personnel as necessary. The EPS shall log all incoming accident packages into the EXCEL H:drive under accident info and track each package through to the date of release from AAT-200.

e. The QAS having responsibility for a facility shall review completed formal packages and coordinate changes with the facilities when necessary. Advise ASO-505 of major errors via lotus notes. Submit corrected packages to AAT-200 for their approval.

f. Each QAS shall conduct an audit of at least one accident package per quarter. Request a copy of the audio tapes for a transcript and compare the two for accuracy. The results shall be reported to the facility, ASO-505 and ASO-505.8.

g. The QAS responsible for each involved facility shall review AT involvement in aircraft accidents and makes recommendations for improving services or procedures.

h. In accordance with Order 8020.11, ASO-505 shall make the final determination as to which facility is responsible for preparing formal/informal accident files/packages. Order 8020.11 contains the criteria on informal and formal accident packages. ASO-505 is also the focal point for approving final distribution of formal accident packages submitted from the field.

i. ASO-505 Quality Assurance Specialists may be called upon to act as on-site representatives for the ATD during preliminary accident investigations. During on-site Accident /Critical Event Investigations, QAS will:

(1) Serve as the Air Traffic Division's Air Traffic Accident Representative. Assume other duties as required.

(2) At the direction of ASO-500, proceed to the facility immediately and act as liaison between the facility and FSDO, NTSB, and any other agencies. The specialist should, as a minimum take a cellular telephone, a laptop computer, Orders 8020.11, 7210.3, and 7110.65. For remote locations, a portable FAX should be obtained.

(3) Brief the ATD as needed or at least once daily. Brief the facility manager daily. Normally, this is accomplished after the ATD briefing is accomplished.

(4) Prepare an accident binder containing copies of all pertinent information. Retain a copy of all items given to the NTSB.

(5) Provide the facility manager with an out briefing upon completion of the investigation. Normally, the facility manager should be provided a copy of the QAS prepared binder after an investigation is completed.

j. All formal accident packages are reviewed by the QAS responsible for the facility preparing the package for completeness consistent with requirements contained in FAA Order 8020.11.

(1) Facilities should forward two completed formal accident packages (copies only), to ASO-505. The original is always maintained in the facility's formal accident file. ASO-505's guideline is to forward the packages 30 working days from the date of the accident or the date the facility was notified of the accident.

(2) Discrepancies and/or questions pertaining to any packages shall be clarified with the originating facility. Amendments shall be made by the facility, and copies of the new pages forwarded/faxed to ASO-505 to ensure all copies will be consistent.

k. Once a package has been determined by ASO-505 to meet Order 8020.11 requirements, the Program Specialist shall send the package to AAT-200, via certified mail. Any amendments or corrections requested by AAT-200 are coordinated with the responsible facility by the QAS.

l. Following the release by AAT-200, the QAS informs the responsible facility and the EPS files the package.

m. Facilities are not allowed to release any accident information without ASO-505's consent; this includes the distribution of accident packages.

n. Formal accident files are retained by ASO-505 for a 2 ½ year retention period, unless extended due to a FOIA request or litigation. However, formal accident packages that contain original documents shall be retained at facility level for 5 years. Prior to a facility destroying any accident package, they should contact ASO-505 for concurrence. In the event any litigation or other actions are pending, the package will need to be retained until advised.

## 2. Air Traffic Incidents.

a. Order 8020.11 and SO Order 7210.13 prescribe the responsibilities and procedures to be followed when handling such situations. Definitions of incidents are also contained in Order 8020.11.

b. Each QAS shall ensure completion of the following regarding facilities for which they have responsibility:

(1) Review incident information from the Regional Daily Alert Bulletin and followup on events as needed.

(2) Review AT involvement in air traffic incidents and make recommendations for improving services or procedures.

(3) Incident Report, FAA Form 8020-11.

(a) This report is used to document incidents such as emergency evacuations observed by AT, selected parachute jumping incidents, maneuvers by pilots due to an emergency and/or TCAS RA that result in the loss of separation, and other incidents which adversely affect the capabilities of AT facilities to provide services. Maneuvers by pilots due to an emergency and/or TCAS RA that result in the loss of separation must be reported to the WOC and AAT-20, through the ROC, within 3 hours of the occurrence.

(b) Review the Incident Report for completeness, accuracy and analysis of the service provided to the pilot. If service is in question, contact the facility with the concerns. Review cassette tapes as needed.

(c) Investigate incidents as necessary. Forward the report to the secretary for filing.

(4) Near Midair Collision Report (NMAC), Form 8020-21.

(a) Review the Preliminary NMAC report for completeness, accuracy and analysis of the service provided to the pilot.

(b) Ascertain the quality of the service provided to the aircraft involved and brief the AWP-505 Manager on the findings. Review cassette tapes as needed. Be prepared to provide further briefings as needed.

(c) Forward the report to the Secretary for entry into the NMAC database, and for filing.

(d) The final NMAC report is due at the ATD within 10 calendar days of the NMAC notification.

(e) In the event the need arises for information concerning a NMAC, Flight Standards maintains records on NMACs for over 2 years.

(5) Pilot Deviation Report, Form 8020-17.

(a) Review the Preliminary Pilot Deviation Report, Form 8020-17 for completeness, accuracy and analysis of the service provided to the pilot. Review cassette tapes as needed.

(b) Forward the report to the Branch Secretary for entry into the Pilot Deviation database, and for filing.

(c) FSDO will forward the Investigation of Pilot Deviation Report, Form 8020-18, to the Air Traffic Division when the investigation is complete. If the Pilot Deviation is a controlled area intrusion, the ATD shall notify the reporting controller, through the facility ATM, of the outcome of the investigation.

(d) Forward the Investigation report to the Secretary for tracking and mailing a copy of Form 8020-18 to the reporting facility.

(e) Pilot Deviations that result in a loss of separation or airspace intrusion:

(i) If the PD is being filed in conjunction with an Operational Error/Deviation, place a copy of Form 8020-17 in the OE/D file.

(ii) When these PD's are entered into the ASO-505 Pilot Deviation database the Secretary will enter "Loss of separation" and/or "Class C or Class B" in the remarks field.

(iii) Upon receipt of Form 8020-18, Investigation of Pilot Deviation Report, the Branch Secretary shall enter into the database that the form was received and forward it to ASO-505. ASO-505 shall review the report to determine if further follow-up action is required (i.e., if the investigating Flight Standards District Office (FSDO) believes the incident is not a PD, or if there are other questions or discrepancies). If the report is questionable, ASO-505 shall review the report with the Manager, Air Safety Regulations. After review of Form 8020-18, the Branch Secretary shall file the report with the associated preliminary pilot deviation report, Form 8020-17.

(iv) Bi-weekly the Secretary will publish and post on the QA Bulletin Board a report of those PD's that involved a loss of separation and/or airspace intrusion. All QA Specialists shall review this report to determine if there are outstanding Preliminary Pilot Deviation Reports that require follow-up by ASO-505 with the appropriate FSDO.

(6) Preliminary Vehicle or Pedestrian Deviation Report, Form 8020-24

(a) Each QAS shall review the Preliminary Vehicle or Pedestrian Report, Form 8020-24 for completeness, accuracy and analysis of the services provided. Review voice tapes and other pertinent data as necessary.

(b) Determine, for Runway Incursion tracking, if an aircraft was involved, and it's proximity to the runway at the time of the VP/D.

(c) Forward the Form 8020-24 to the Branch Secretary for tracking and document retention.

c. The Branch Secretary retains incidents such as Pilot Deviations, Vehicle/Pedestrian Deviations, TCAS and NMAC reports for 2 ½ years.

## **PUBLICATIONS**

### **1. Alert Bulletins.**

Alert Bulletins are generated by ASO-505. These are news bulletins that contain operational information as well as noteworthy accomplishments and updates on issues. The intent of these bulletins is to transmit information relating to quality assurance to all ASO air traffic personnel, and to highlight operational issues that warrant wide distribution.

a. Example of topics include:

(1) Operational errors/deviations, an analysis of possible causes, and possible preventative QA measures.

(2) Information and discussion of some of the most significant surface errors. Address possible causes and preventative measures.

(3) NMACs and other incidents as needed.

(4) Other information on quality assurance.

b. The regional office, field facilities, and headquarters may provide information contained in the bulletin.

c. Once the bulletin is completed, forward to the ASO-505 Manager for review and distribution approval. The secretary will accomplish distribution to all field facilities.

### **2. Regional Publications (Currency and Distribution).**

a. ASO-505 is responsible for the currency of SO AT Order 7210.13, Quality Assurance Order.

b. ASO-505 will provide facilities guidance on requirements contained in Order 7210.56, Quality Assurance, Order 8020.11, Aircraft Accidents & Incidents Notification, Investigation, and Reporting, and Order 7010.1 Air Traffic Evaluation Procedures.

c. Whenever there is a change/update or new issue to the above listed publications, they shall be reviewed to ensure supplements and/or Orders are still valid and appropriate.

d. Once the new or revised document is complete and ready for distribution, forward it to the Division Secretary for review and accuracy. The Division Secretary should be able to answer questions concerning change documents and procedures for implementing the revision. The Branch Secretary will complete the work order and forward it to the print shop for reproduction and distribution as requested.



## DRUG/ALCOHOL TESTING

1. DOT Order 3910.1C, Drug and Alcohol Free Departmental Workplace, requires post accident testing as soon as practicable for illegal drugs and alcohol in situations where an accident/incident meets the requirements of a covered event. The determination that testing will be conducted is made when an employee's job performance at or about the time of an accident/incident provides reason to believe that such performance may have contributed to the accident/incident or cannot be completely discounted as a contributing factor to the accident/incident. Testing as soon as practicable after the event is desired so the presence of alcohol or drugs may be detected before the evidence dissipates. Alcohol testing must be accomplished within 8 hours of the incident and drug testing within a reasonable period from the time of the accident/incident. The Order does not currently specify a time limit for drug testing. Drug testing has been performed from several hours to several days after the event.

2. Post accident drug/alcohol testing determinations are the responsibility of the ATD Manager (or acting manager). For the purpose of drug/alcohol testing determinations, should the ATD Manager not be available, the Assistant ATD Manager is delegated as the ATD Manager. Should the Assistant ATD Manager not be available, the Manager, Evaluations Staff, ASO-505, is delegated this task.

The following process will be used by the Evaluations Staff in initial accident investigation to formulate a recommended course of action for the ATD Manager.

a. Determine what has occurred and if the event is a covered event for a drug/alcohol testing determination per the criteria outlined in DOT Order 3910.1. Unless a fatality/serious injury is involved or a simultaneous loss of radar and communications has occurred, a determination from the Flight Standards Division is required on damage to aircraft/property.

b. Elements of a covered event are:

- (1) A fatality.
- (2) A serious injury.
- (3) Substantial aircraft damage and air traffic involvement.
- (4) Other substantial damage.

c. Air traffic involvement is:

(1) Based upon the nature of the accident, ATC contact with the aircraft at or about the time of the event, or during the accident flight segment depending upon the nature of the accident.

(2) A pertinent AFSS weather briefing of the involved aircraft. (Example of a pertinent weather briefing would be if an aircraft receives a briefing from MIA to ORL and has an accident along portion of the route. An example of a weather briefing that is not pertinent would be if an aircraft receives a briefing from MIA to ORL and subsequently departs ORL w/o a briefing and has an accident.)

d. Until a determination is made whether this is a covered event, it may be necessary to keep the involved air traffic control specialist at the facility until a decision is rendered. The QAS is responsible for coordinating with the facility on the schedules involved, and ensuring an informed decision is made.

e. In cases where a determination on the coverage of the event under the provisions of DOT Order 3910.1 may not be available to the ATD in a timely manner, the QAS is expected to make a determination on how to proceed based on the best information available. If doubt exists, elevate the issue to the ASO-505 Manager or in his/her absence, ASO-501.

f. When it has been determined that this is a covered event (per DOT Order 3910.1), the second step is to identify each employee whose performance MAY HAVE CONTRIBUTED to the event. Keep in mind that it is not necessary for the employee or the FAA to be implicated as the cause of an event in order to drug/alcohol test. This step identifies each employee who was directly involved with the flight during any portion of the flight (including the weather briefing) where their performance COULD HAVE contributed in any manner to the accident, including emergency handling and search and rescue.

g. The final step in drug/alcohol testing determinations requires a thorough review of all employees performance identified in the previous step as having the potential of contributing to the event. This review is to be conducted by facility management, and have the concurrence of the facility manager/acting manager prior to being finalized. The QAS will discuss the results of the facility review and the facility manager's recommendation on drug/alcohol testing.

3. After discussing the facility manager's recommendation and ensuring all appropriate questions have been answered, the QAS shall place a call through the ROC to the ATD Manager (or acting manager as specified above) for the determination to be finalized. The ATD Manager shall be briefed on the occurrence, the performance of the specialists involved, and any other data uncovered during the review that is deemed relevant by the QAS. The determination shall then be documented for the accident file.

4. Ensure the ROC notifies ASO-300S if post accident testing is required. Time is a critical factor in these situations.

## ON-CALL DUTIES

The Quality Assurance Specialist assigned rotational on-call duties for a particular week is the specialist assigned as the Air Traffic Division (ATD) point of contact for event notification and preliminary air traffic investigation. The QAS is responsible for keeping ATD management informed of all significant events. The importance of accurate reporting cannot be overemphasized. ATD management will make decisions based upon the reports of the ASO-505 QAS. The QAS assigned on-call duties is expected to use resources effectively, keep accurate records, and be prepared to justify his/her actions.

1. Each QAS is responsible for handling all calls received from facilities through the Regional Operations Center (ROC). The QAS assigned the after hours on-call duty shall carry a pager and cell phone at all times.
2. The ATD duty roster lists QAS on a weekly rotating basis; however, it is the ASO-505 Manager's prerogative to change the rotation of assignments as needed. The ASO-505 Manager shall provide the ROC with a current copy of the ATD on-call duty roster. The normal tour of on-call duty is from 7:00AM Monday to 7:00AM Monday.
3. The duty person shall take all incoming calls from ROC during regular business hours and after hours (regardless of whose facility) concerning:
  - a. Operational Error
  - b. Operational Deviation
  - c. Miscellaneous Incident
  - d. Vehicle/Pedestrian Deviation
  - e. Pilot Deviation
  - f. Accidents/Incidents
  - g. All other events as determined by ROC
4. Following the initial call in, the duty specialist shall brief the facility specialist. If the initial call in occurs during regular business hours, the duty specialist shall brief the facility specialist asap. If the initial call in was after business hours, the duty specialist shall brief the facility specialist asap the next business day. Once the facility specialist is briefed, all subsequent actions (except database entry) concerning the event become the responsibility of the facility specialist.
5. The duty person shall enter all 7210-2 data into ASO-505's database and attach a printed copy to the faxed copy and place both in the appropriate box on the secretary's desk. The secretary will make up a folder.
6. If the duty specialist is overloaded, the specialist shall seek assistance through ASO-505.
7. If the duty specialist needs to be relieved of duty during regular business hours for either personal or business reasons, the duty specialist shall seek relief from another specialist and advise everyone in 505 and the ROC.

8. Calls received may include near midair collision reports, operational errors/deviations, pilot deviations, surface incidents, facility and equipment outages, facility evacuations, military facility deviations, international incidents, aircraft accidents, and other incidents, which may either be newsworthy or require the attention of the ATD. It is the responsibility of each specialist to receive these notifications, and to utilize good judgment in the additional notification of other staff, regional, and headquarters management personnel. Depending upon the significance of the event, this may be required immediately, but no later than the beginning of the next administrative day.

9. ASO-500 and/or ASO-501 shall be notified on all incidents which are likely to result in news media attention or for which headquarters managers have expressed an interest. The Air Traffic Division Manager shall keep ASO-505 advised of who the contact person is for reporting of these events. Additionally, the Public Affairs office is to be notified in instances where media attention is probable (such as accidents and NMACs). It is expected that each QAS will utilize good judgment in making these determinations. In cases where uncertainty exists, the specialist is expected to elevate the issue to the ASO-505 Manager for a determination.

10. Guidelines for handling of events:

After initial notification through the ROC, it may be necessary to supplement the data received in order to ensure all potential air traffic concerns are addressed. Contact with facilities may be accomplished through the ROC. In the event that you need to contact a facility, to the extent possible, talk to someone in a supervisory capacity. If this is not possible, talk to the designated CIC. Gather as many details on the accident/incident as possible to properly brief ATD management. Bear in mind that the facility may be extremely busy in a high stress situation, so it is important to be as brief and to the point as possible.

The following guidelines cover the primary areas that become important after the fact. However, each accident/incident has specific and individual concerns unique to itself. These guidelines should be reviewed after each call-in to determine which factors are pertinent and must be addressed.

a. Accidents

When notified that a facility is calling in an accident or suspected accident, the following can be expected:

(1) The ROC will notify the QAS of the event and conference the QAS with the involved facility to determine ATC involvement. Ensure that the facility Manager has been notified of the event.

(2) Ensure all potential air traffic concerns are addressed. Determine which facilities provided ATC services, working back to the departure point if able. If needed, ensure a Request for Services has been initiated.

(3) Investigate ATC involvement. Gather sufficient information/data to develop a complete summary of the event. Obtain details to determine exactly what happened and how it happened. The QAS will determine which facilities, based on the nature of the accident and the extent of ATC services provided, shall review voice tapes. In those facilities where a voice tape is required, the QAS shall ensure that the facility manager (or the acting manager) actually reviews the tapes and provides his/her recommendation as to whether or not to conduct post-accident drug/alcohol testing. Review AFSS preflight and inflight pilot weather briefings, when weather, or other information provided to the pilot may be a possible factor in the accident.

(4) If another region may be involved, ensure the ROC notifies the appropriate ROC.

(5) Advise the ROC to bridge the ASO-505 Manager into conference and brief him/he as needed.

(6) Brief either ASO-500 or 501 on all accidents where air traffic may have been involved or there is special significance attached to the accident. This is accomplished so a drug test determination can be made.

(7) After review/advise the ROC to fax the report to the Washington Operations Center (WOC). AAT-210 may ask questions about the event.

(8) Time is a critical factor in these situations. Alcohol testing must be accomplished within 8 hours of the incident and drug testing within a reasonable period from the time of the accident/incident. Refer to Appendix 8 on Drug/Alcohol Testing.

(9) Treat all accidents as having sustained "substantial damage" until FSDO makes an official determination.

(10) Field facility personnel are not authorized to issue or make any specific statements regarding accidents. They may give out general information such as confirmation of an accident, type aircraft if confirmed, etc. All other inquiries should be referred to the Public Affairs Office.

(11) Remind the facility that FAA Form 8020-9, Aircraft Accident/Incident Preliminary Notice, must be transmitted to FSDO and appropriate offices by NADIN.

(12) If the facility should need assistance in accomplishing any post accident requirements, provide assistance to the extent possible, e.g., coordination, etc.

#### Possible Questions:

- ✓ Has the facility manager representative listened to the tape?
- ✓ Is it a "covered event"? (A covered event includes a fatality, serious injury, substantial aircraft damage or substantial damage to other property.)

- ✓ Was there air traffic involvement? (ATC contact or weather brief within 24 hours)
- ✓ Was the pilot in contact with ATC at the time of the accident?
- ✓ What control instructions were given? Did the pilot acknowledge or readback correctly?
- ✓ Were other services acceptable? Adherence to phraseology?
- ✓ Have the ATM and Hub ATM been notified?
- ✓ Was the controller involved on overtime?
- ✓ Was OJT in progress?
- ✓ Has an NTAP or CDR been prepared? What does it show?
- ✓ Did this cause any delays?
- ✓ Was the airport closed? If so, how long?
- ✓ Was the runway in use aligned with the wind? If not, why?
- ✓ Were position relief briefings adequate?
- ✓ Was weather a possible factor? Were PIREPs/SIGMETs/AIRMETs obtained or forwarded?
- ✓ Did the aircraft have a current altimeter?
- ✓ Is there media attention?
- ✓ Are CISD or EAP services needed?
- ✓ Has it been documented on FAA Form 7230-4, Daily Record of Facility Operation?

b. Operational Error/Deviations

When notified that a facility is calling in an Operational Error/Deviation, the following can be expected to occur:

(1) The facility will fax a copy of the Preliminary Operational Error/Deviation Investigation report to the ROC. The ROC will then fax the form to the on duty QAS who shall review the form, request the facility to update the form as necessary, and then advise the ROC to forward the form, via fax, to the WOC.

(2) As appropriate, the QAS shall advise the ROC to conference with the involved facility and ASO-501 (between 8:00a.m. and 10:00p.m.). The ROC shall concurrently conference the AAT-200 on-duty specialist.

(3) The QAS will gather information/data to be able to provide a complete summary of the event. Obtain details to determine exactly what happened and how. Remind the facility of the requirement to schedule a follow-up call-in within 2 administrative days of the occurrence.

Facilities are required to call in Operational Errors/Deviations within 3 hours. The ASO-505 duty specialist may grant a facility an additional 30 minutes without contacting AAT-200. If a facility needs more time for the preliminary report, gather available/pertinent data and advise AAT-200. If unsure whether an Operational Error or Deviation occurred, treat the event as an actual OE/OD.

Should further investigation reveal a non-occurrence, the facility can request reclassification via Form 7210-5. Information on facility handling of Operational Errors/Deviations is contained in Order 7210.56.

#### Possible Questions

- ✓ Has a management representative listened to the tape?
- ✓ What control instructions were given? Did the pilot acknowledge?
- ✓ Was the controller involved on overtime?
- ✓ Was OJT in progress?
- ✓ If the specialist was involved in a previous error/deviation, are there any similarities?
- ✓ Has the specialist had any previous performance issues identified?
- ✓ Were other specialists monitoring/assisting the specialist involved?
- ✓ Were there any distractions?
- ✓ Were memory aids used? If so, was usage in compliance with facility directives?
- ✓ Was a CA activated? Was TCAS activated? Was a NMAC reported?
- ✓ Was a traffic advisory or safety alert issued? If so, when?
- ✓ Was wake turbulence a factor?
- ✓ Did all aircraft have Mode C?
- ✓ Were other services acceptable? Adherence to phraseology?
- ✓ When did the controller and supervisor become aware of the deviation?

- ✓ What actions were taken after becoming aware of the deviation?
- ✓ What was the specialist's statement? Any comments from the pilot(s)?
- ✓ Has an NTAP or CDR been prepared? What does it show?
- ✓ Was it been documented on Form 7230-4, Daily Record of Facility Operation?

c. Near MidAir Collision (NMAC).

The reporting procedures are similar to those for Operational Errors/Deviations. Form 8020-21, Preliminary Near MidAir Collision Report, is used.

(1) The ROC will notify the QAS of the event and conference the QAS with the involved facility.

(2) The QAS will request that a supervisor review the voice tapes of the facility that provided ATC services. The QAS will gather information/data to be able to provide a complete summary of the event. Obtain details to determine exactly what happened and how it happened.

(3) If another region may be involved, ensure the ROC notifies the appropriate ROC.

(4) If the NMAC is significant or if ATC services are in question, advise the ROC to bridge the ASO-505 Manager into conference and brief the Manager.

(5) Advise the ROC to fax the report to the WOC. AAT-200 may ask questions about the event.

NOTE: Significant NMACs involve air carriers, air taxis, media interest, prominent persons, civil aircraft with reported separation less than 100 feet, injuries to personnel, structural damage, or civil turbojet aircraft regardless of type of flight.

An example and instructions for completion of Form 8020-21 is located in Order 8020.11. Remind the facility that appropriate information must be transmitted to FSDO and appropriate offices by NADIN within 12 hours. Instruct the facility to send a copy of the tape to ASO-505.

Possible Questions:

- ✓ Has a management representative listened to the tape?
- ✓ Was the controller an FPL? How long certified on the position?
- ✓ Were both aircraft in contact with ATC?
- ✓ What was done to try to avoid it?
- ✓ Has an NTAP or CDR been prepared? What does it show?



- ✓ Was traffic issued to both aircraft? If so, when?
- ✓ Did both aircraft have the same altimeter setting?
- ✓ Were other services acceptable? Adherence to phraseology?
- ✓ Were positions combined?
- ✓ Were other specialists monitoring/assisting the specialist involved? What positions?
- ✓ Where was the supervisor or CIC?
- ✓ What was the traffic volume and complexity?
- ✓ Was weather a factor?
- ✓ What control instructions were given? Did the pilot acknowledge?
- ✓ Were all aircraft involved on frequency?
- ✓ Did all aircraft have Mode C?
- ✓ Was the controller involved on overtime?
- ✓ Was OJT in progress?
- ✓ How long was the controller on position before the NMAC?
- ✓ Did the pilot ask to be met at the destination?
- ✓ Have the ATM and Hub ATM been notified?
- ✓ Was it been documented on Form 7230-4, Daily Record of Facility Operation?

d. Pilot Deviations

Use Form 8020-17, Preliminary Pilot Deviation Report. When notified that a facility is calling in a Pilot Deviation, the following can be expected to occur:

(1) The ROC will notify the QAS of the event. A conference with the involved facility may be initiated. Ensure the facility Manager has been notified of the event.

(2) As needed, the QAS may request that a supervisor review the voice tapes of the facility that provided ATC services. The QAS will gather information/data to be able to provide a complete summary of the event. Obtain details to determine exactly what happened and how it happened.

(3) If another region may be involved, ensure the ROC notifies the appropriate ROC.

If the Pilot Deviation is significant or ATC services are in question, advise the ROC to bridge the ASO-505 Manager into conference and brief the Manager.

(4) As needed, advise the ROC to bridge the ASO-500 and 501 Managers and brief them.

(5) Advise the ROC to fax the report to the WOC. AAT-200 may ask questions about the event.

NOTE: Significant pilot deviations involve air carriers, air taxis, or prominent persons. Remind the facility that appropriate information must be transmitted to FSDO and appropriate offices by NADIN within 3 hours.

Possible Questions:

- ✓ Was traffic issued? (If applicable)
- ✓ Was the altimeter given to the pilot?
- ✓ Was weather a factor?
- ✓ What does the NTAP or CDR show?
- ✓ When did the controller become aware of the deviation?
- ✓ What actions were taken after becoming aware of the deviation?
- ✓ Has a management representative listened to the tapes?
- ✓ Were ATC services acceptable?
- ✓ Was the pilot advised of the possible pilot deviation in accordance with FAA Order 7110.65?
- ✓ Was it documented on Form 7230-4, Daily Record of Facility Operation?
- ✓ Was the controller an FPL?
- ✓ What control instructions were issued?
- ✓ Did the pilot acknowledge or readback correctly?
- ✓ Was Mode C operational?
- ✓ Was there OJT in progress?
- ✓ Was the controller involved on overtime?

- ✓ Do the ATM and Hub ATM know?

e. Equipment Outages:

If there is an equipment outage (NAVAIDS, frequencies, power failures, etc.), determine if the outage will affect the NAS. In general most power failures will affect the NAS only if the engine generators also fail.

(1) For catastrophic outages (widespread, usually two or more facilities), facility evacuations due to equipment, or hazardous materials, advise the ROC to bridge the ASO-505 and ASO-530 managers immediately. Additionally, notify ASO-500/501 via text pager. Use common sense. If the failure does not have significant impact, then limit notification accordingly.

(2) Text page the ASO-530 Manager on any operational impact.

(3) Request that the facility advise, through the ROC when equipment is returned to service. Be prepared to provide a thorough briefing to ASO-505.

(4) In all cases, advise ASO-505 and ASO-530 managers on the next administrative day so they can follow up with ASO-400, Airway Facilities. Verify that the facility notified the Air Traffic System Command Center (ATSCC) in accordance with the AAT-1/AAF-1 memorandum, "Reporting Significant Outages and Events in the National Airspace System (NAS)".

Possible Questions:

- ✓ Did any delays result or are delays expected?
- ✓ If so, how many and length of the delay(s).
- ✓ Was any flow program required? (or will be required).

f. Military Deviations and Spill-out

Procedures are contained in Order 7210.56.

Spill out reporting requires a summary of the event be provided to AAT-200 via Service B within 1 administrative day of the incident. Include the reporting facility, date and time of incident, aircraft identification and type, military branch, assigned special use airspace, military radar unit, and controlling/monitoring facility.

If the spill out resulted in a loss of separation or report of a NMAC with an aircraft outside the SUA, within 3 hours, forward the above listed information to AAT-200 via the WOC within 3 hours of the incident.

g. Media Guidance

Expect media attention with aircraft accidents or incidents, especially if air carriers or air taxis are involved. With high visibility events, notification is extremely important. Ask the facility and ROC if there has been media interest. If the answer is yes, ensure the ASO-505, ASO-501 and ASO-500 managers are notified.

General guidelines: The best way to handle the media is “**Don’t**”. Refer them to Public Affairs.

- Do not allow the press to interview controllers.
- Do not release any information to the press.
- Do not allow the press to visit facilities.
- Do not speculate on the event.

## **ID BADGES**

### **EMPLOYEE INSTRUCTIONS** (Includes FAA Employees and Contractor Employees)

#### **DISPLAY OF FAA-ISSUED BADGE** FAA Southern Region Office Complex

**Effective: December 17, 2003**

#### **Policy:**

- *All persons entering FAA facilities will have in their possession and will conspicuously wear issued identification badges on their outer clothing above the waist and below the neck*

(See attached examples of proper and improper display of badge)

#### **Procedures:**

- Proximity Card Reader Security Equipment near the Lobby Guard Desk requires your proximity card be scanned to access secured areas of the Regional Office Facility.
- All doors with card reader access are to remain closed at all times. Each Division's main entry door is programmed to be unlocked between 8:00am - 4:30 pm. In accordance with the FAA Facility Security Management Program, Order 1600.69B, the door shall remain closed. Doors shall not be propped open with doorstops.
- If you need a temporary employee badge:
  - a. Provide photo identification to the lobby guard for validation. If a photo ID is not available, a supervisor must provide validation and approve admittance.
  - b. A daily-expiring badge will be issued at the Lobby Guard Desk.
- Should you lose your badge, advise your Supervisor and apply for a replacement photo ID badge within 48 hours.

**EXAMPLES  
DISPLAY OF FAA-ISSUED PHOTO ID BADGE  
(includes Temporary Employee Badge)**

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**PROPERLY DISPLAYED:**



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**IMPROPERLY DISPLAYED:**



**ASO-505 STAFF  
CORPORATE KNOWLEDGE  
&  
INDIVIDUAL DEVELOPMENT  
ACTION PLAN**

**PURPOSE:** This action plan is designed to ensure that the ASO-505 Branch reaches and maintains a minimum level of Corporate Knowledge, Skills, and Abilities (KSA's), and that its individual employees have an opportunity to enhance their own KSA's to the maximum extent possible.

**BACKGROUND:** In order to perform the duties required of a Regional Evaluation Staff at a consistent high level of excellence, the sum total of the knowledge, skills and abilities of its team members must provide an equally high level of experience and expertise in each of its job task assignments.

**METHODS & MEANS:** The ASO-505 Manager will:

- Request via the *Annual Call For Training*, those courses identified as required training in the Corporate Knowledge Development Plan attachment, and those courses specifically requested by ASO-505 employees in their Individual Development Plan attachments.
- Facilitate development and retention in an ASO-505 library, training modules for use in field level environments and for training of new ASO-505 staff specialists.
- Acquire and retain in an ASO-505 training library, commercially developed training videos that teach or enhance skills needed as an ASO-505 employee.
- Make every effort to fill training slots made available through cancellation by other employees.
- Nominate employees for temporary assignments to increase KSA's.
- Solicit available training funds to meet identified training needs.

**TIME FRAME:** Ongoing

**EVALUATION PROCESS:** Annually, and in concert with the *Annual Call For Training*.

**REVIEW PROCESS:** Request review by ASO-502 as needed.

## **ASO-505 STAFF CORPORATE KNOWLEDGE DEVELOPMENT PLAN**

**PURPOSE:** Develop the knowledge, skills and abilities (KSA's) of ASO-505 team members to a high level of experience and expertise in each of the ASO-505 job task assignments. Develop and train ASO-505 personnel in supervisory and managerial KSA's.

**LONG RANGE GOALS:** Prepare ASO-505 team members for successive promotional opportunities up to and including field and regional level supervisory and managerial positions.

**SHORT RANGE GOALS:** Train ASO-505 Staff personnel in all aspects of their job task assignments.

### **REQUIRED TRAINING:**

All ASO-505 QA Staff Specialists will spend a minimum of eight hours of on-site learning time in an Air Traffic facility where they have not held an option certification.

Consistent with course availability, all ASO-505 QA Specialists will attend the following courses, review available course material, and/or be briefed on the following:

- Quality Assurance Program Administration – Course 50314
- Aircraft Accident Investigation – Course 00035
- Aircraft Accident Investigation, New Technology & Recurmt – Course 00003
- Accident Package Preparation – Locally and nationally developed course material.
- FOIA Procedures – Locally and nationally developed course material.
- SPAM Program – Locally developed training.
- SATORI – Locally developed training.
- RAPTOR – Locally and nationally developed course material.
- Conduct & Discipline Briefing – Manager Briefing.
- Conduct & Discipline Investigation Techniques – Manager Briefing.
- Model Work Environment – Manager Briefing.
- In-Flight Evaluation Procedures – Manager Briefing.
- Flight Monitor Report (FMR) Procedures – Locally developed training.
- Micro Soft Word, Excel, Access, and Power Point training – Video training
- ASO-505 SOP – Self-Brief and manager review.
- Hotel Fire Safety – Self Brief from Word Document File



All ASO-505 administrative support personnel will spend a minimum of two hours of on-site learning in an Air Traffic facility in all three options.

All ASO-505 administrative support personnel will attend the following courses, review available course material, and/or be briefed on the following:

- Conduct & Discipline Briefing – Manager Briefing.
- Model Work Environment – Manager Briefing.
- Accident Package Preparation – Locally and nationally developed course material.
- FOIA Procedures – Locally and nationally developed course material.
- Micro Soft Word, Excel, Access, and Power Point training – Video training
- ASO-505 SOP – Self-Brief and managerial review.
- Hotel Fire Safety – Self Brief from Word Document File

#### **DESIRED TRAINING:**

All ASO-505 QA Specialists should make every effort to be available to attend the following courses should they become available.

- Air Traffic Facility Management – Course 50316
- Airspace & Procedures – Course 50019
- Air traffic Facility Training Administration – Course 50310
- Basic Instructor Training – Course 10520
- Facility Instructor Training – Course 10501
- CBI – LMR for Leaders – Disk 57048

## ASO-505 STAFF INDIVIDUAL DEVELOPMENT PLAN

**NAME:** \_\_\_\_\_

**LONG RANGE GOALS:** \_\_\_\_\_

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**SHORT RANGE GOALS:** \_\_\_\_\_

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**DESIRED TRAINING CLASSES:** \_\_\_\_\_

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**DESIRED SKILL ENHANCEMENT OPPORTUNITIES:** \_\_\_\_\_

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## FLIGHT ASSISTS

Each QAS is responsible for processing of flight assists at their facility. Upon receipt of a flight assist determine whether it is Routine, Significant or Outstanding. Request a cassette tape on all Outstanding Flight Assist. Review the cassette and compare to the written report on FAA Form 7230-6 and ensure it is "outstanding." Routine flight assists should be logged in the EXCEL Spreadsheet in the Flight Assist folder on the "H" drive, and then filed in your facility files. If it is a Significant (SIG) or Outstanding (OUT) flight assist, you shall:

1. Open the Flight Assist spreadsheet in EXCEL in the H:drive. Locate the appropriate quarter, enter the three letter identifier (plus AFSS for Flight Service Stations), date of occurrence, and mark whether SIG or OUT.
2. If the event is Outstanding/Significant, request a letter from the facility or prepare a letter of commendation/appreciation for ASO-500 signature. (Suggest large facilities prepare their own, we prepare for small facilities. If a facility prepares the letter, ask them to send it electronically and ensure they do not give it to the employee and advise that 505 will present a letter and plaque on behalf of ASO-500.) Sample letters are located on the H:drive in the flight assist folder under "letterofcom" (word document). The letter should include the employee's name, SSN, and title along with a synopsis of the event. Indicate on the EXCEL spreadsheet the date you request the letter and the date the letter is received. Save all letters in the following format: 3 ltr facility ID, month event occurred, date event occurred, last number in the year event occurred and number of letter concerning this event, example - bhm6261.1.
3. Distribute the letter as follows:
  - a. Present letterhead to individual.
  - b. Grid copy attached to flight assist (FAA Form 7230-6) and file in flight assist binder.
  - c. One file copy to 505A for placement in OPF.
  - d. One file copy to 500A for reading file.
4. For Outstanding events you will need to order a "We Point With Pride" plaque for each individual involved and one for the facility with all individuals names on it. Once you determine the number of plaques needed, contact Jane Nix, ASO-540.6, via Lotus Notes a resource request form (H:drive, Budget, RRF for Plaques doc.) for approval to order the plaques. Indicate on the EXCEL spreadsheet the date you requested funding.
5. After receiving approval to order plaques, call Tara Trophies and FAX request to Elbert Lovin POC (phone # and fax # are the same) with the number of plaques needed and the day you want to pick them up. Log the date of the order in the EXCEL spreadsheet. Obtain the branch Commercial Credit Card and use for payment when picking up the plaques. File the paid invoice under the General Budget file, 1500. **Tara Trophies, 18A North Avenue, Suite 101, Jonesboro, GA 30236, 770-478-2720** (phone and fax).

6. Significant flight assists receive a Southern Star certificate that ASO-505 will print. Log the date the certificate is printed in the EXCEL spreadsheet in the PLQ RCVD column. A copy of the Southern Star certificate and the flight assist, FAA Form 7230-6, should be placed in the flight assist binder.

7. Enter the date of presentation of the plaque(s) or Southern Star certificates in the EXCEL spreadsheet.

## OE/OD DATABASE

The following procedures shall be used for inputting an operational error or operational deviation into the ASO-505 database:

1. Open the OES database. A list will appear displaying a list of ASO facilities.
2. Click on the "+" next to any facility, then click on the "+" next to any OE/D number, then click on "PRELIM".
3. A dialog box will appear. Once the facility ID is entered, type a "D" for Operational Deviation or an "E" for an Operational Error. The database will autofill the error or deviation with the next available number. The user can overwrite this number, but not with a number that is already in use.
4. Enter the report data. In most cases, a <Tab> or <Enter> will space to the next field
5. Most data boxes can hold all necessary data. In case there is not enough room, enter the extra data into Box 19c Summary.
6. Field specific data entry instructions:
  - Box #5. Altitude-Use three digits (025 for 2,500', 310 for 31,000', 000 for surface)
  - Box #6. Location of Occurrence-Use a fix/radial/distance (ATL180045) or location on airport surface.
  - Box #7. Closest Proximity-For vertical use the number of feet without any extra symbology (type 600 not 600'). For horizontal, miles are assumed, unless indicated otherwise (type 4.6 not 4.6 mi). Use "min" to indicate minutes (12 min) or ft to indicate feet (2000 ft).
  - Box #13-d. Area of Specialization-If applicable, enter a number instead of text (type 1 not One).
  - Severity Index. For OE's click on Low, Moderate, High, or Not Eligible if there is no severity index applicable (non-radar, airport surface, parallel final approaches). Click on TV for all OD's, as well as airborne OE's for which there is no severity index, but in which 80% of either the vertical or horizontal separation standards were maintained.
7. When data entry is complete, click the "Save" button.

### Printing an OE or OD

1. If the correct OE/D Entry Form is present, once the data is saved, click the "Print" button.
2. If the correct OE/D Entry Form is not present, click on the "+" next to the facility, then the "+" next to the correct OE/D number, then click on "PRELIM". Click the "Print" button.

### Editing and OE or OD

1. If the correct OE/D Entry Form is present, edit the data, then click the "Save" button.
2. If the correct OE/D Entry Form is not present, click on the "+" next to the facility, then the "+" next to the correct OE/D number, then click on "PRELIM". Edit the data, then click the "Save" button.

## **Use of Radar Audio Playback Terminal Operations Recording (RAPTOR)**

RAPTOR is a computer program designed to take electronic data from terminal facilities equipped with ARTS and replay it on any FAA PC. Although there is an EARTS configuration, the current RAPTOR program does not work with the Micro-EARTS system in use at San Juan CERAP. RAPTOR is proprietary Federal Aviation Administration (FAA) software, and shall not be distributed outside the FAA offices that conduct official FAA Air Traffic investigations.

By agreement between the FAA and the National Air Traffic Controllers Association, RAPTOR shall not be used to determine either the loss of separation between aircraft, or the closest proximity between aircraft. To determine whether two aircraft experienced a loss of separation minima, or their closest proximity, use the latest version of ATCPLOT, available at

<ftp://adab:aat20@aat20.faa.gov/ATCPLOT/>

There are four steps involved in using RAPTOR to replay and ATC event. The steps are:

1. Gathering the data
2. Saving the Data
3. Opening and configuring RAPTOR
4. Running RAPTOR

These instructions will use a fictitious example of an Operational Error CDR from Palm Beach Approach Control (PBI).

### **Gathering the Data**

Have the facility prepare a Continuous Data Recording (CDR) extraction using the following parameters:

- Do not use any filters except for time, Data Class and subsystem (radar sensor) unless specifically requested;
- For ARTS IIE and IIIE systems request the facility extract TA, TU, TG and CR data classes;
- For ARTS IIIA systems request the facility extract TD and TG data classes;
- Have the facility save as a single file in ASCII format ending in .txt
- (PBI-T-03-E-001.txt);
- For facilities with multiple sensor systems, have the facility identify the sensor number in use or filter all but primary for the sensor in use;
- Have the facility identify and/or provide an electronic copy of the radar map most likely in use during the event (PBI West.ini). Check the following folder to see if ASO-505 has a copy of the map: h:\Raptor\Video Maps\.

## **Saving the Data**

Once the facility has gathered the data, have the facility attach the CDR .txt file and video map .ini file (if not already on the h: drive) to an email. Once the email is opened, detach the .txt file to the following folder: h:\Raptor\CDR Files\. The .txt file should be named something recognizable, such as PBI-T-03-E-001.txt or Accident N12345.txt to make it recognizable in the CDR Files folder. If it is not recognizable, rename it before saving it to the folder. If the facility has not used the correct file extension (.td instead of .txt) rename the file using a .txt file extension before saving it to the folder.

The .ini file should be detached into the h:\Raptor\Video Maps\ folder. The .ini file should also be named something recognizable, such as PBI West.ini. If the map file is not recognizable, rename it before saving it to the folder.

## **Opening and Configuring RAPTOR**

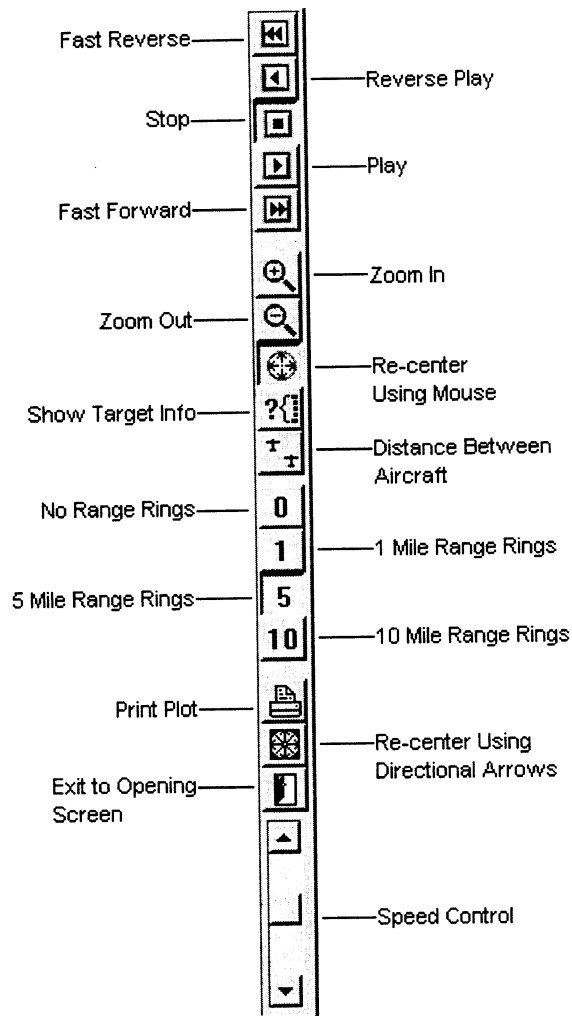
If there is no shortcut on the Windows desktop to start RAPTOR, copy h:\Raptor\Shortcut to Raptor-141X and paste it to the desktop. Double-click on the RAPTOR shortcut and RAPTOR will start. RAPTOR needs to be configured to the particular system in use at the facility that sends the CDR data. If unsure about which ARTS system is at any given facility, the user can consult <http://aat150.faa.gov/> and select Facility Information from the drop-down menus. Enter the three-letter facility identification (PBI) and the ARTS system will be displayed (ARTS IIE for PBI).

On the RAPTOR drop-down menu, select Setup, then ARTS IIE. For multiple-sensor facilities, select Setup, then Sensor #, then the sensor number the facility supplied in E (above). To open the CDR data extraction, select File, Open Data File, Look In, select the folder h:\Raptor\CDR Files\ and select the saved file (PBI-T-03-E-001.txt). To open the radar video map, select File, Open Map File, Look In, select the folder h:\Raptor\Video Maps\ and select the saved map file (PBI West.ini). The selected CDR and map files should display on the RAPTOR opening screen.

The RAPTOR opening screen has a drop-down box for Trails that by default is set to 0. To make it easier to detect target paths, drop down the Trails box and select either 5 or 10. On the same screen, de-select Radar Only, unless the replay involves aircraft that were not transponder equipped. This step will help de-clutter the replay. RAPTOR is now configured to run. Click the Play button.

## **Running RAPTOR**

With the opening-screen Play button pushed, the selected video map will appear. The radar replay will start when the Play button on the left-hand toolbar is pressed. Once the replay starts, the clock in the upper left-hand corner will activate with the recorded UTC time of the ARTS clock. The scroll bar on the right-hand side of the screen will also start to scroll downward. This scroll bar is useful in repositioning the replay back and forth to the correct time for repeated viewing of a particular time segment.



- The top five keys on the toolbar are self-explanatory.
  - The next two keys either zoom in or zoom out, keeping the center point of the display constant.
  - By selecting the Re-center Using Mouse button, the user can click anywhere on the display to re-center the map.
  - The Show Target Info button displays an aircraft heading, azimuth from the radar site, lat-longs, etc. Click on the button, and then left-click on the aircraft to get the info.
  - The Distance Between Aircraft button is used by clicking on the button, left clicking on one aircraft, and then right clicking on the other aircraft. A continuous display of the aircraft vertical and lateral separation will appear, including green for separated, and red for a loss of separation.
  - Print Plot will give either a B&W or color printed plot of the replay.
  - The user can re-center the display using directional arrows instead of the mouse (above)
- The Speed Control allows the user to replay the RAPTOR at real time (slide control all the way to the bottom) or speed it up by sliding the control upward.
  - Exit to Opening Screen closes the video map and allows the user to re-configure using the opening screen.

Technical support for RAPTOR is the responsibility of Mark Olsen in the Air Traffic Investigations Branch, AAT-200.